

2011 FTIP Checklist and Development Guidance

Time Line:

- **MPOs must submit Draft 2011 FTIPs to Caltrans at the start of the FTIP public review period, but no later than September 1, 2010 .**
- **Final 2011 FTIPs are due to Caltrans on October 1, 2010.**
- **Final 2011 FTIPs must be posted by MPOs on their websites by October 7, 2010.**

Checklist for 2011 FTIPs:

Metropolitan Planning Organizations (MPOs) shall include the following as part of the FTIP binder/package to Caltrans Programming:

- ☐ Project listings (Identify those projects that are Transportation Control Measures (TCMs))
- ☐ Detailed listings (back-up listings) for Grouped Projects
- ☐ Signed board resolution. Board resolution must certify that:
 - ☐ FTIP is consistent with metropolitan transportation planning regulations per Title 23 Code of Federal Regulations Part 450
 - ☐ FTIP is consistent with the Regional Transportation Plan (RTP) _____ (e.g. 2030)
 - ☐ FTIP is financially constrained. The enclosed financial summary affirms that funding is available
 - ☐ Air quality conformity
 - ☐ FTIP does not interfere with the timely implementation of the TCMs contained in the State Implementation Plan (SIP)
 - ☐ Completion of public participation process carried out in accordance with the MPO's Public Participation Plan.
- ☐ Project listings included in the final 2011 FTIP are available in California Transportation Improvement Program System (CTIPS)
- ☐ Financial summary (See Attachment A)
 - ☐ Include information covering the first four years of the FTIP.
 - ☐ E-mail an electronic copy to your contact at Caltrans, Office of Federal Transportation Management Program in the same format provided by Caltrans (Must be in Excel format)
- ☐ Air quality conformity analysis and determination
- ☐ Public participation plan/ interagency consultation (Must also provide link to your website where public participation plan can be viewed)
- ☐ Expedited Project Selection Procedures (EPSP) documentation includes the following:

“Projects from the first four years of 2011 FTIP have been selected using the following project selection procedures”

- ☐ Provide link to your website where Draft 2011 FTIP is posted

“ _____ ”

- ☐ Provide 5 copies of the final FTIP to Caltrans

Mailing Address:

Department of Transportation
Division of Transportation Programming, MS 82
Office of Federal Transportation Management Program
P.O. Box 942874
Sacramento, CA 94274-0001
Attn: Muhaned Aljabiry

General Guidance:

This guidance is not intended to supersede any federal regulations. FTIPs must comply with applicable metropolitan transportation planning regulations per Title 23 Code of Federal Regulations Part 450.

1. At the start of the public review period and no later than September 1, 2010, MPOs must transmit 2 copies of their draft 2011 FTIPs to Caltrans to the address mentioned in the above checklist. MPOs must include items listed in the above checklist in their draft 2011 FTIP with the exception of the board resolution.
2. If any MPO does not meet the deadline for FTIP submittal, its FTIP will not be included in the FSTIP until the FSTIP has been approved by the FHWA/FTA. Caltrans will be required to post that MPO's FTIP on the FSTIP website for 14 days to allow for public review. The FTIP will be part of the base FSTIP upon federal approval.
3. During the development of the FSTIP, any amendments or modification to the board adopted FTIPs will be included in the Draft FSTIP if they are submitted to the Department seven days prior (**October 1, 2010**) to the start of the public review of the Draft FSTIP. Any amendments and modifications that do not meet the deadline will be processed after the federal approval of the FSTIP.
4. SAFETEA-LU requires FTIPs to identify costs for maintaining and operating the system of Federal-aid facilities. Include the basis for the calculations of operations and maintenance needs for you region, and provide analysis of revenues dedicated for these activities in the FTIP Financial Plan. Also address anticipated shortfall in the available revenue, if any, and include plans to address the shortfall.
5. For Planning Studies (non-transportation capital), check to ensure that these projects have been considered for inclusion in the Overall Work Program rather than the FTIP
6. The total funding for each phase shall be shown in the fiscal year wherein federal authorization (E-76 approval) will be sought
7. Grouped Project Listings: Attachment B provides guidance to MPOs in air quality nonattainment or maintenance areas.
For MPO areas and rural non-MPO counties that are classified as air quality attainment (SLOCOG, SBCAG, AMBAG and SHASTA) refer to 23CFR771.117 (c) & (d) for additional information on projects that can be classified as "Categorical Exclusion (CE)." Projects that are not considered as regionally significant and qualify as CE may be grouped together. It is the MPO's responsibility to make the eligibility determination for projects to be included in grouped project listings.
8. Projects must be shown in the FSTIP to receive environmental approval. Therefore, projects with no funding programmed within the four years of the FTIP and that are programmed in order to receive environmental document approval must add the following to the project description:

a. RTP Reference and schedule

b. Project included in the FTIP for environmental approval

9. Each project or phase in the FTIP shall include the following information:
 - a. Sufficient descriptive material (i.e., type of work, termini, and length) to identify the project or phase. See the section below for more information.
 - b. Total project cost based on the latest estimates, which may extend beyond the four years of the FTIP; also the cost estimates must use an inflation rate(s) to reflect "year of expenditure dollars" based on reasonable financial principals and assumptions. In nonattainment and maintenance areas, projects in the first two years of the TIP shall be limited to those for which funds are available and committed. Include these financial principals and assumptions in the "Financial plan" for your FTIP.
 - c. The amount of Federal funds proposed to be obligated during each program year (for the first year, this includes the proposed category of Federal funds and source(s) of nonfederal funds.

For the second, third, and fourth years, this includes the likely category or possible categories of Federal funds and sources of nonfederal funds)

- d. Implementing agency
- e. Corresponding Regional Transportation Plan (RTP) number or RTP page number. MPOs that use CTIPS to develop their FTIPs may use "Project Title, Location & Description" field or "MPO Comments" field in CTIPS for including RTP information.

8. Project description must be consistent with the following format:

- **For Highway Projects (State Highways/Local Roads):**

Description Formula: [(Location :) + (Limits) + (;) + (Improvement)]	
Location:	<p>The nearest city or significant town illustrated on popular state highway maps. If the project is located more than 5 miles away from the city or town then prefix the city name with "East, West, North, or South of".</p> <ul style="list-style-type: none"> • <i>In Bakersfield:</i> • <i>South of Bakersfield:</i>
Limits:	<p>Project limits can be stated as from one road or street to another. Other boundary landmarks, such as rivers, creeks, state parks, freeway overcrossings, can be used in-lieu of streets or roads.</p> <ul style="list-style-type: none"> • <i>Between 1st Street and Pine Boulevard;</i> • <i>North of Avenal Creek to South of Route 33;</i> • <i>At Rock Creek Bridge;</i>
Improvement:	<p>Describes the work to be done. Include significant components of the improvement (in particular those that relate to air quality conformity).</p> <ul style="list-style-type: none"> • <i>Rehabilitate roadway.</i> • <i>Convert 4-lane expressway to 6-lane freeway with 2 HOV lanes.</i> • <i>Construct left turn lane.</i>
Example: In Bakersfield: Between 1 st Street and Pine Boulevard; rehabilitate roadway.	

- **For Transit Projects:**

Description Formula: [(Location :) + (Limits) + (;) + (Improvement/Activity)]	
Location:	<p>For work at spot locations for large (statewide) transit agencies:</p> <ul style="list-style-type: none"> • Nearest city or significant town illustrated on popular state highway maps. If the project is located more than 5 miles away from the city or town then prefix the city name with "East, West, North, or South of". • <i>In Bakersfield:</i> • <i>North of Bakersfield:</i> <p>Otherwise: Skip this step</p>
Limits:	<p>For work at spot locations (all agencies): Name of station, description of facility, name the rail corridor for the project etc.</p> <ul style="list-style-type: none"> • <i>Lafayette BART Station;</i> • <i>The Daly City Yard, adjacent to the Colma Station;</i> • <i>San Joaquin Corridor;</i> <p>Otherwise: Skip this step</p>
Improvement/ Activity:	<p>Describes the work to be done. Include significant components of the improvement (in particular those that relate to air quality conformity).</p> <ul style="list-style-type: none"> • <i>Construct station.</i> • <i>Construct a Child Care Facility</i> • <i>Track and signal improvements</i> <p>Projects that apply to entire transit agency jurisdiction – describe activity</p> <ul style="list-style-type: none"> • <i>Purchase of 59 buses - 12 MCI's and 47 Standard 40 ft buses (note if expansion or replacement)</i> • <i>Paratransit van leasing</i> • <i>Operating assistance for Sacramento Regional Transit</i>
<p>Examples: North of Bakersfield: San Joaquin Corridor - Track and signal improvements. Lafayette BART Station; construct a Child Care Facility Operating assistance for Sacramento Regional Transit</p>	

State Highway Programs:

I. 2010 State Transportation Improvement Program (STIP):

1. The California Transportation Commission (CTC) Staff recommendations for 2010 STIP projects is expected to be released on April 29, 2010.
2. CTC adoption of 2010 STIP is expected on May 19, 2010.
3. 2010 STIP will be available in the California Transportation Improvement Program System (CTIPS) for transferring into FTIPs in June 2010.
4. The total project cost must be programmed in the FTIP, and all projects funding including non-STIP funding must be shown in the FTIP. (Note: if a phase occurs outside the valid FSTIP period, then the total project cost can be shown under the comment section or in the project description. The total cost may not be programmed due to an unfunded need or the phase occurring outside the valid FSTIP period.)
5. When a STIP project is transferred from the STIP into the FTIP in CTIPS through “CTIPS transfer mechanism”, Right of Way Support and Construction Support costs will be added to the corresponding capital costs

MPOs may choose any of the following four options for programming STIP projects in the 2011 FTIPs:

- i. MPOs may use information from the 2010 STIP after adoption by the CTC. The 2011 FTIPs submittals to Caltrans have been moved to October 1, 2010 to allow the MPOs to use this option.
- ii. MPOs may use CTC staff recommendations for programming STIP projects. An FTIP amendment to the 2011 FTIP may be required, after adoption of 2010 STIP by CTC, in order to align STIP programming from the 2011 FTIP with the adopted 2010 STIP should the CTC staff recommendations be different from the CTC adopted 2010 STIP. Caltrans recommends that such reconciliation be done through the first amendment to the 2011 FTIP.
- iii. MPOs may use the county and interregional shares information from the CTC adopted 2010 STIP Fund Estimate (FE). See link below for information.

http://www.catc.ca.gov/programs/STIP/2010_STIP_FE_G-09-10.pdf

For the first three years of the 2011 FTIP (i.e. FYs 2010/11, 2011/12 and 2012/13) MPOs must program only existing projects from the 2008 STIP that are to be re-programmed in the 2010 STIP. MPOs may program new STIP projects, if any, in the fourth year (i.e. FY 2013/14) of the 2011 FTIP. Make sure that the total programmed STIP funding in 2011 FTIP is constrained to the available STIP targets for your region per FE. Note that an amendment to the 2011 FTIP will be required, after adoption of 2010 STIP by CTC, in

- iv. MPOs may choose to program only existing projects from the 2008 STIP that are to be re-programmed in the 2010 STIP. Note that an FTIP amendment to the 2011 FTIP will be required, after adoption of 2010 STIP by CTC, in order to align STIP programming from the 2011 FTIP with the adopted 2010 STIP. Caltrans recommends that such reconciliation be done through the first amendment to the 2011 FTIP.

II. 2010 State Highway Operation and Protection Program (SHOPP):

1. Caltrans submitted the proposed 2010 SHOPP to the CTC on January 31, 2010. CTC approval of the 2010 SHOPP is scheduled for February 24, 2010. 2010 SHOPP will be available in CTIPS by May 1, 2010.
2. Office of the Federal Transportation Management Program, Caltrans, will provide SHOPP Grouped Project Listings Reports that include detailed project listings and associated funding information to MPOs after May 1, 2010. Use these reports to program SHOPP projects in your 2011 FTIP.
3. Total revenue for SHOPP projects for your region is equal to total programmed funding for SHOPP projects.
4. For MPOs in non-attainment areas, MPOs to identify any projects from the SHOPP Grouped Project Listings Report that are non-exempt from air quality conformity determination, and list them individually in the FTIPs.
5. For MPOs in attainment areas, MPOs to review the projects from the SHOPP Grouped Project Listings Report and individually list any projects that are not classified as "Categorical Exclusion (CE)" in the FTIPs. MPOs may contact their District FTIP Coordinators if they need more information on the project scope in order to make the determination of non-Exempt/CE.
6. Use the following fund types to program these SHOPP projects in your 2011 FTIPs. When programming in the FTIP, costs for the grouped projects (or individually listed projects) need to be split at 88.53% "SHOPP Advance Construction (AC)" as federal funds and 11.47% "State Cash" as matching funds.

CTIPS (California Transportation Improvement Program System)

File Edit View Actions Tools Help

Fund Table Manager

Edit Fund Type

Browse All Funds

Fund Type Details

Fund ID
SHOPPAC

Fund Name
SHOPP Advance Construction (AC)

Detailed Fund Description ('Huh?' Button)
State funds used to advance SHOPP projects.

☐ Blended Fund Type

Match %
?

Match Fund
▼

Type

☐ Federal
☒ State
☐ Local

☐ Archived Fund Type ☐ State Highway Account

Program Category(s) Containing this Fund Type

CT Minor Pgm.
SHOPP - Bridge Preservation
SHOPP - Collision Reduction
SHOPP - Emergency Respor
SHOPP - Mandates
SHOPP - Mobility
SHOPP - Roadside Preserva
SHOPP - Roadway Preservat
SHOPP Prior

Select Category to Add
▼
Add Delete

MPO Filter - This Fund Type Applies to

☒ AMBAG ☒ BCAG ☒ COFCG ☒ KCOG ☒ MCAG
☒ MTC ☒ SACOG ☒ SBCAG ☒ SCAG ☒ SANDAG
☒ Shasta ☒ SJCOG ☒ SLOCOG ☒ STANCOG ☒ TCAG
☒ Kings ☒ TRPA ☒ Madera ☒ Rural Non-MPO

Check All ?

Delete Fund Type Add Fund Type

Top Prior Next Bottom

Exit

Selected 9 records in 0.02 seconds

NUM

8

AJB_3/24/2011

State overdue

III. Caltrans Local Assistance Managed Programs:

Highway Bridge Program: FTIP programming must be consistent with the information posted at the link below.

http://www.dot.ca.gov/hq/LocalPrograms/hbrr99/HBP_FSTIP.html

For Highway Safety Improvement Program, Safe Routes to School Program and the High Risk Rural Roads Program, we will forward you the information once available. This information will be posted at the link below.

<http://www.dot.ca.gov/hq/LocalPrograms/programInformation.htm>

Attachments:

Attachment A: Financial Summary Template

Attachment B: Programming Grouped Project Listings in Air Quality Non-Attainment or Maintenance Areas